

31047 U.S. PTO

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Approved for use through 10/31/2002 OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

98-039B

First Inventor

Carlson

Title

Ligands for Modulating the Expression of Exogenous Genes

Express Mail Label No.

PTO
09/832500

04/12/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 41]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
- ☐ Oath or Declaration [Total Pages 4]
 - ☐ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☒ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

ACCOMPANYING APPLICATION PARTS

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies), or
 - ☐ paper
 - ☐ Statements verifying identity of above copies
- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09, 315, 451

Prior application information.

Examiner R. Schwartzman

Group Art Unit. 1636

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)



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Registration No. (Attorney/Agent)

38,602

Signature

Thomas D. Rogerson

Date

4/6/01

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FEE TRANSMITTAL
for FY 2000*Patent fees are subject to annual revision
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28***Complete if Known****TOTAL AMOUNT OF PAYMENT (\$)** 870

Application Number	
Filing Date	Herewith
First Named Inventor	Glenn Richard Carlson et al.
Examiner Name	Not yet assigned
Group / Art Unit	Not yet assigned
Attorney Docket No	98-039B

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 18-1850 Deposit Account Name: Rohm and Haas Company <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 390</td><td>216 195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 890</td><td>217 445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,390</td><td>218 695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,890</td><td>228 945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td colspan="2">Other fee (specify) _____</td><td></td><td></td></tr> <tr><td colspan="2">Other fee (specify) _____</td><td></td><td></td></tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 390	216 195	Extension for reply within second month		117 890	217 445	Extension for reply within third month		118 1,390	218 695	Extension for reply within fourth month		128 1,890	228 945	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,240	241 620	Petition to revive - unintentional		142 1,240	242 620	Utility issue fee (or reissue)		143 440	243 220	Design issue fee		144 600	244 300	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____			
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SUBMITTED BY

Name (Print/Type)	Thomas D. Rogerson	Registration No (Attorney/Agent)	38,602	Telephone	215-592-2423
Signature	<i>Thomas D. Rogerson</i>	Date	4/6/01		

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. 98-039B
TDR/bk

jc984 U.S. PTO
09/832500
04/12/01

In re application of:
Glenn Richard Carlson et al.

Serial No.: Not yet assigned : Group Art Unit: Not yet assigned

Filed: Herewith : Examiner: Not yet assigned

For: **LIGANDS FOR MODULATING THE EXPRESSION OF EXOGENOUS
GENES VIA AN ECDYSONE RECEPTOR COMPLEX**

Box: Patent Application
Assistant Commissioner for Patents
Washington, DC 20231

CERTIFICATE OF MAILING

Sir:

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Copy of Patent Application (98-039A)
Preliminary Amendment
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April 11, 2001
Date

Becky Knauth
Signature

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